



OFFICE OF HOMELAND SECURITY

February 8, 2008

Terry Stigall
 Finance Manager
 Marin Municipal Water District
 220 Nellen Avenue
 Corte Madera, CA 94925-1169

Monitoring Report #M08-008

Dear Mr. Stigall:

On February 8, 2008, the Office of Homeland Security (OHS), Monitoring and Audits Unit, Program Monitor, James Lewis conducted a desk monitoring review for the purpose of monitoring the Marin Municipal Water District Critical Infrastructure Protection OHS Grant. I wish to thank you and your staff for the courtesy extended to Mr. Lewis during the review process. Enclosed, you will find the monitoring report for the following grants:

| GRANT | PROGRAM NAME | PERIOD MONITORED |
|----------------------|--|---------------------|
| 2003-0035 #041-91046 | FY03 Part II Critical Infrastructural Protection (CIP) | 03/17/03 - 04/16/03 |

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitor examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitor performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your OHS Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete pending acknowledgment on the third page. **If any findings are identified in the monitoring report, you will have 120 days from the last day of the monitoring review to submit a Correction Action Plan to the Program Monitor.**

The corrective action process provides two options:

Option One – The subgrantee self certifies by the submission of an Action Plan that details the corrective steps implemented, and that any finding(s) noted in the monitoring report are resolved.


Option Two – Submission of an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by OHS program staff (i.e. technical assistance).

When corresponding to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

Governor's Office of Homeland Security
Grants Administrative Section
Monitoring & Audits Unit
State Capitol
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact me at (916) 323-7611.

Sincerely,



Stacy Mason-Vegna
Program Manager
Grants Monitoring & Audits Unit

Attachment

cc: Oreen Delgado, Asst. Finance Manager, Marin MWD
Maybel Garing, OHS Program Representative
Monitoring & Audits Unit, chron file
Grants Management Unit, grant file

Monitoring Report Response Form

| | |
|--|--|
| TO: Governor's Office of Homeland Security Grants Management Section Monitoring & Audits Unit State Capitol Sacramento, CA 95814 | Grant Numbers: <u>2003-0035</u> Monitoring Control Number: <u>#M08-008</u> Response Due: <u>March 8, 2008</u> |
| Attention: Stacy Mason-Vegna Program Manager | |

FROM: Subgrantee: _____

Option One

☐ I have reviewed and acknowledge receipt of the above referenced monitoring report.

Authorized Signature

Title

Date

Typed Name

Title

Telephone Number



CALIFORNIA GOVERNOR'S OFFICE OF HOMELAND SECURITY MONITORING NARRATIVE REPORT

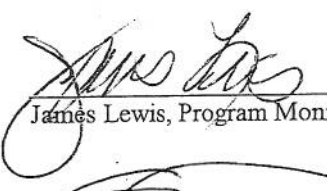
| GRANT/FIPS NUMBER | PROGRAM NAME | PERIOD MONITORED | MONITORED AMOUNT |
|----------------------|--|----------------------|------------------|
| 2003-0035 #041-91046 | FY03 Part II State Homeland Security Grant Program (SHSGP) | 03/17/03 to 04/16/03 | \$9,808 |

| | |
|--|---|
| Marin Municipal Water District | |
| AUTHORIZED AGENT: Terry Stigall | ADDRESS: 220 Nellen Avenue Corte Madera, CA 94925-1169 |
| CONTACT EMAIL: tstigall@marinwater.org | |
| CONTACT PHONE NUMBER: (415) 945-1420 | |
| ALTERNATE POINT of CONTACT: Oreen Delgado | |
| CONTACT EMAIL: odelgado@marinwater.org | |
| PROGRAM REPRESENTATIVE: Maybel Garing | E-mail: Maybel.Garing@ohs.ca.gov |
| PHONE NUMBER: (916) 324-9312 | |
| PROGRAM MONITOR: James Lewis | E-mail: James.Lewis@ohs.ca.gov |
| PHONE NUMBER: (916) 322-2335 | DATE OF MONITORING: February 8, 2008 |

PERSONS INTERVIEWED DURING MONITORING VISIT

| NAME | TITLE | AGENCY |
|--------------------------------|-----------------------|--------------------------------|
| Terry Stigall (e-mail) | Finance Manager | Marin Municipal Water District |
| Oreen Delgado (phone & e-mail) | Asst. Finance Manager | Marin Municipal Water District |
| | | |
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| | | |
| | | |

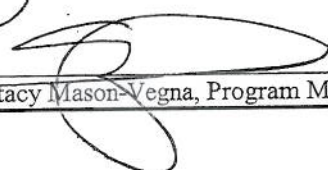
Prepared by:


 James Lewis, Program Monitor, OHS Administration Division, Monitoring & Audits Unit

Date

2/8/2008

Approved by:


 Stacy Mason-Vegna, Program Manager, OHS Administration Division, Monitoring & Audits Unit

Date

2/8/08

Monitoring Date: February 8, 2008

Marin Municipal Water District Monitoring Report

| Monitoring Report Summary | Total # of Items in Category | In Compliance | Not in Compliance | Not Monitored | Not Applicable | Total |
|---|---------------------------------|---------------|----------------------|---------------|-------------------|-----------|
| A. Administrative Review | | | | | | |
| Review of Audit Reports | 2 | | | | 2 | 2 |
| Grant Assurances | 1 | 1 | | | | 1 |
| Grant Approval Notification | 2 | 2 | | | | 2 |
| Performance Reports | 1 | | | | 1 | 1 |
| Homeland Security Strategies | 1 | | | | 1 | 1 |
| Publication of Published Materials | 1 | | | | 1 | 1 |
| B. Programmatic Review | | | | | | |
| Program Goals and Objectives | 2 | 2 | | | | 2 |
| Exercise | 2 | | | | 2 | 2 |
| Training | 1 | | | | 1 | 1 |
| Planning | 1 | | | | 1 | 1 |
| C. Financial Management | | | | | | |
| Accounting System | 8 | 8 | | | | 8 |
| Distribution of Funds | 1 | | | | 1 | 1 |
| Advance of Funds | 2 | | | | 2 | 2 |
| Change Requests/Modifications | 2 | | | | 2 | 2 |
| Maintenance of Records | 1 | | | | 1 | 1 |
| D. Fiscal: Personnel Services | | | | | | |
| Management and Administrative Services | 3 | 2 | | | 1 | 3 |
| Overtime/Back Fill | 3 | 3 | | | | 3 |
| E. Fiscal: Procurement | | | | | | |
| Responsibility | 1 | | | | 1 | 1 |
| Methods of Procurement | 4 | | | | 4 | 4 |
| F. Fiscal: Equipment & Property Management | | | | | | |
| Equipment Purchases | 3 | | | | 3 | 3 |
| Property Management & Records Keeping | 2 | | | | 2 | 2 |
| G. Subgrantee Monitoring & Oversight | | | | | | |
| Subrecipient single audit requirements | 1 | | | | 1 | 1 |
| Management and Administrative Responsibility | 1 | | | | 1 | 1 |
| Overtime/Backfill/CTO Responsibility | 1 | | | | 1 | 1 |
| Procurement Responsibility | 1 | | | | 1 | 1 |
| Equipment & Property Management Responsibility | 1 | | | | 1 | 1 |
| Total | 49 | 18 | 0 | 0 | 31 | 49 |

Marin Municipal Water District Monitoring Report

PROGRAM SUMMARY

Corrective Action Plan: Not Required.

MONITORING REPORT DETAIL

- A. Administrative Review:** Subgrantee in compliance (3 items); Not applicable for Subgrantee (5 items).
1. **Review of Audit Report:** Not applicable for Subgrantee (2 items).
 2. **Grant Assurances:** Subgrantee in compliance (1 item).
 3. **Grant Approval Notification:** Subgrantee in compliance (2 items).
 4. **Performance Reports:** Not applicable for Subgrantee (1 item).
 5. **Homeland Security Strategies:** Not applicable for Subgrantee (1 item).
 6. **Publication of Materials:** Not applicable for Subgrantee (1 item).
- B. Programmatic Review:** Subgrantee in compliance (2 items); Not applicable for Subgrantee (4 items).
1. **Program Goals & Objectives:** Subgrantee in compliance (2 items).
 2. **Exercise:** Not applicable for Subgrantee (2 items)
 3. **Training:** Not applicable for Subgrantee (1 item).
 4. **Planning:** Not applicable for Subgrantee (1 item).
- C. Financial Management:** Subgrantee in compliance (8 items); Not applicable for Subgrantee (6 items).
1. **Accounting System:** Subgrantee in compliance (8 items).
 2. **Distribution of Funds:** Not applicable for Subgrantee (1 item).
 3. **Advance of Funds:** Not applicable for Subgrantee (2 items).

Marin Municipal Water District Monitoring Report

- C. 4. **Change Request/Modifications:** Not applicable for Subgrantee (2 items).
- 5. **Records Maintenance:** Not applicable for Subgrantee. (1 item).
- D. **Fiscal: Personnel Services:** Subgrantee in compliance (5 items); Not applicable for Subgrantee (1 item).
 - 1. **Critical Infrastructure Protection:** Subgrantee in compliance (2 items); Not applicable for Subgrantee (1 item)
 - a. Allocation: Subgrantee in compliance (1 item).
 - b. Allowable Costs/Activities: Not applicable for Subgrantee (1 item).
 - c. Functional Timesheets: Subgrantee in compliance (1 item).
 - 2. **Overtime/Backfill and/or CTO:** Subgrantee in compliance (3 items).
- E. **Fiscal: Procurement:** Not applicable for Subgrantee (5 items).
- F. **Fiscal: Equipment & Property Management:** Not applicable for Subgrantee (5 items).
- G. **Subgrantee Monitoring & Oversight:** Not applicable for Subgrantee (5 items).

